

### **3 FLOW OF PERSONNEL ACTIONS THROUGH THE PERSONNEL CABINET**

The next page contains an overview of the steps through which a P-1 is processed in Personnel. This section expands on those steps, explaining key aspects of each in the order they are shown on the chart on the following page.

#### **3.1 Agency preparation of P-1 and supporting documentation.**

For appointments, reinstatements, re-employments, and transfers-in, agencies will not have a turnaround P-1 ready to complete. The three-part P-1 will need to be used. This same form should be used for other actions only if the agency is unable to use the turnaround P-1 provided by Personnel (e.g., an error is made on the turnaround P-1 in preparation and it cannot be easily corrected). The P-1 sent to Personnel is the original, containing the appointing authority's signature under "Authorizations for Next Request." Supporting documentation includes position descriptions (PD), applications, and any other documents necessary for the Personnel Cabinet to review and approve the requested action.

#### **3.2 Where to send P-1 and documentation.**

All initial documents should be sent directly to the P-1 Receiving Unit. Much confusion and lost time can be avoided by sending these documents to the correct address. The correct address is:

Processing & Records Branch  
Division of Employee Management  
Department for Personnel Administration  
Room 531, 5th Floor, 200 Fair Oaks Lane  
Frankfort, KY 40601

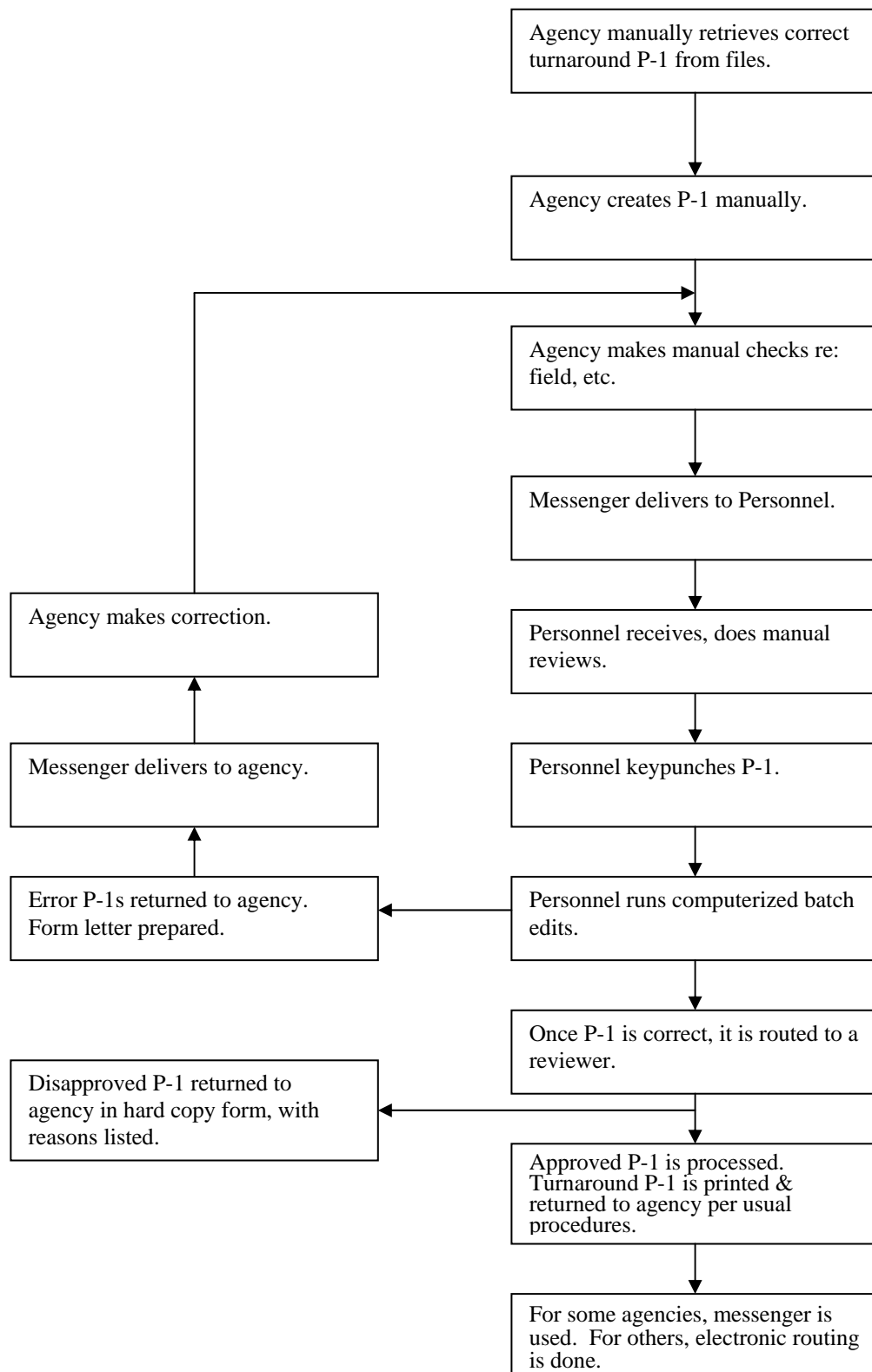
There are times when another unit within the Cabinet requests that you send additional documentation directly to them. The addresses of each of these divisions or units are:

Classification and Compensation Branch  
Division of Employee Management  
Department for Personnel Administration  
801 Teton Trail  
Frankfort, KY 40601

Division of Staffing Services  
Department for Personnel Administration  
Suite 517, 5th Floor, 200 Fair Oaks Lane  
Frankfort, KY 40601

Register Branch  
Division of Staffing Services  
Department for Personnel Administration  
Suite 517, 5th Floor, 200 Fair Oaks Lane  
Frankfort, KY 40601

Overview of the P-1 Processing Steps used in the Personnel Cabinet



Legal Counsel  
Suite 516, 5th Floor  
200 Fair Oaks Lane  
Frankfort, KY 40601

Payroll Branch  
Division of Employee Management  
Room 535, 5th Floor, 200 Fair Oaks Lane  
Frankfort, KY 40601

### **3.3 Receipt of P-1 Forms.**

P-1s must be received by their effective date in order to be processed for the payroll period that applies for that action. For example: A personnel action effective April 1 must be received by April 1 in order to be processed in time for the April 1-15 pay period. An agency that sends a large volume of P-1s at the last minute of the due date should not expect all the documents to be processed for that pay period.

### **3.4 Keypunching of P-1.**

After the P-1s have been received into the Personnel Cabinet, they are then keypunched. The P-1s are run through our computerized batch edits. If the P-1 rejects to the error file because of the P-1 being typed incorrectly, then it is our policy to delete the P-1 action from the error file (via computer) and return it to the agency with a form letter stating the reason the action is being returned. If the P-1 passes through all of the computerized edits, it is then added to the "pending file", waiting final approval.

### **3.5 Routing of P-1.**

Once the P-1 clears all the computerized edits (which consists of approximately 5,000 edits), it is then routed to the appropriate division for further review. Some actions, such as address changes, need no further review.

### **3.6 Areas to which P-1 is routed.**

Some actions must be reviewed by more than one division. The following shows the division or unit and general area that is the subject of their review:

| <b>Area</b>                            | <b>Examples of General Areas of Review</b>  |
|--|---|
| Classification and Compensation Branch | <ul style="list-style-type: none"> <li>• Position establishment.</li> <li>• Actions involving changes in how a position is classified (e.g., reclassifications, reallocations)</li> </ul>                 |
| Division of Staffing Services          | <ul style="list-style-type: none"> <li>• Actions that require an employee's or applicant's qualifications to be reviewed (e.g., reclassifications, promotions).</li> </ul>                                |
| Legal Counsel                          | <ul style="list-style-type: none"> <li>• Actions that relate to assuring Merit System Rules are followed or whether employee rights have been satisfied (e.g., layoffs, disciplinary actions).</li> </ul> |

### 3.7 **Printing of Turnaround P-1.**

After the approval of the P-1, the Personnel Cabinet then prints the turnaround P-1. The latter will have the printed approvals of the requesting agency and the Personnel Cabinet under "Approval of Current Request." The agency is sent all necessary copies of this P-1 for distribution. The original copy of the turnaround P-1 is to be used by the agency in submitting the next action for the employee. The P-1s will be produced in alphabetical order within each agency.

The number of parts to the turnaround P-1 that is returned to the agency will depend on the type of action that was submitted. The number of parts to the P-1 is as follows:

Four-part P-1 Form: This form is printed for you by the Personnel Cabinet when the action is for employee and position.

### 3.8 **Printing of P-1 Listings.**

Perhaps the most critical area requiring agency coordination relates to the P-1 listing printed by Personnel. After the P-1 is keypunched, Personnel updates its computer files and automatically generates certain payroll transactions that will save time for the agency's payroll officer. A P-1 listing, showing all P-1s that have been approved, is then printed.

The purpose of the P-1 listing is to notify the agency's payroll staff of the employees for which they must prepare payroll transactions. Payroll transactions may not be prepared regarding P-1s that did not get processed in time to be placed on the listing. The reason is that an automated match of personnel and payroll files is done by Personnel in order to make legally required certifications of the payroll. If payroll transactions are submitted without having corresponding approved P-1s on Personnel's computer files, then required certifications cannot be done.

#### **DISTRIBUTION AND USE OF MULTIPLE-PLIED P-1'S**

|                  | <b>Personnel Cabinet<br/>(Next Action)</b> | <b>Department<br/>Copy</b> | <b>Department<br/>Copy</b> | <b>Employee</b> | <b>Total</b> |
|------------------|--|----------------------------|----------------------------|-----------------|--------------|
| <b>Color</b>     | <b>White</b>                               | <b>Canary</b>              | <b>Green</b>               | <b>Blue</b>     |              |
| Computer-Printed | Agency                                     | Agency                     | Agency                     | Agency          | 4            |

### **3.9 Who Handles Which Areas.**

The Department for Personnel Administration consists of the following organizational units:

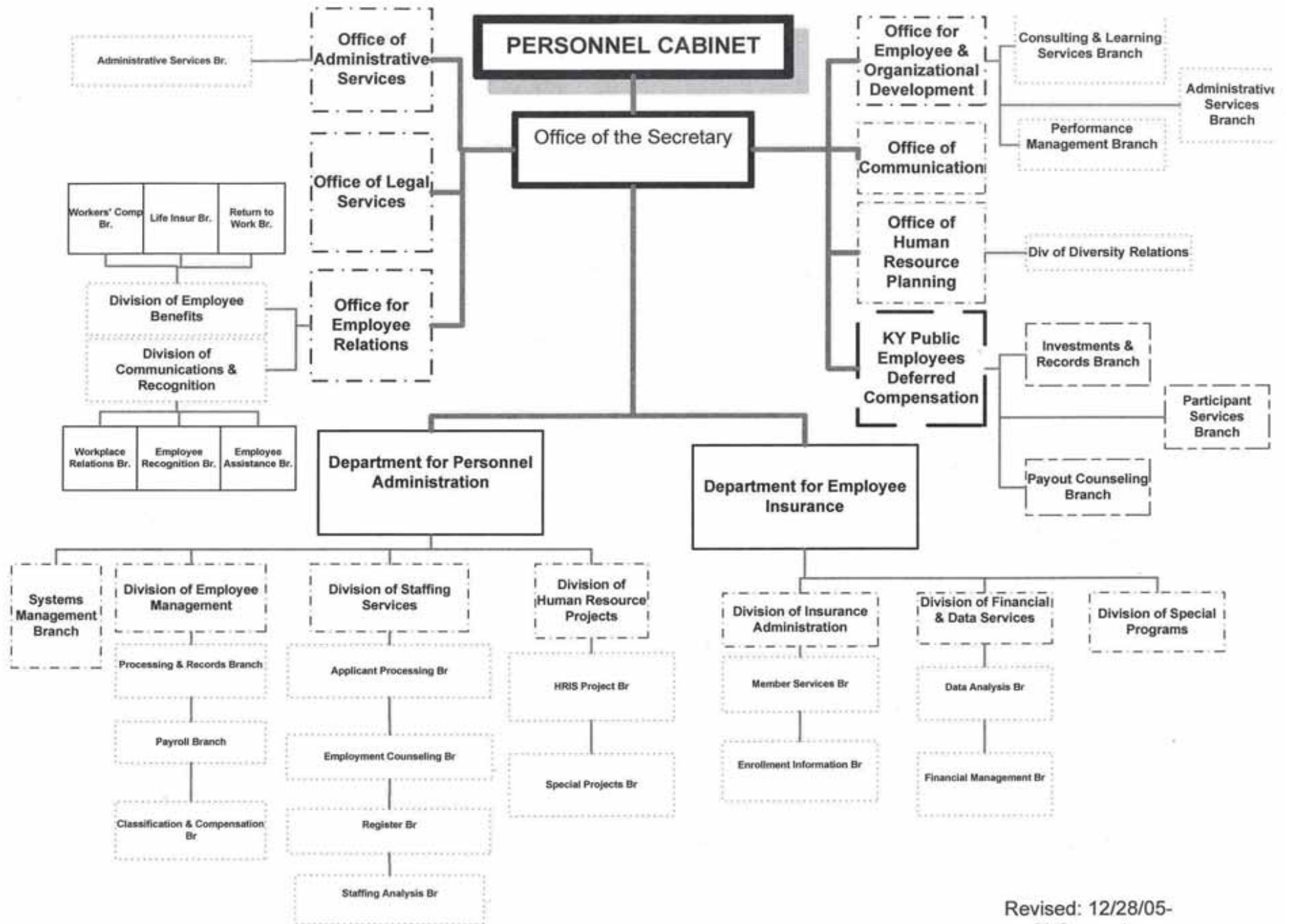
- Division of Employee Management is responsible for the audit and certification of all state payrolls; the preparation and maintenance of all employee personnel and payroll records; the job classification and compensation plans for state employees; the review of all personnel position actions, job audits, class specification revisions and salary surveys; the maintenance of the agency data bases; the operation and maintenance of agency electronic systems; implementing lay-off plans; and monitors and assists agencies to comply with the Federal Fair Labor Standards Act.
- Division of Staffing Services is responsible for applicant processing, applicant counseling, examination construction and register maintenance. Within these areas are the duties of examination research and development, review of personnel actions for minimum requirements, providing to applicants and employees concerning state government employment, administration, grading and processing of examinations, maintain register files, verification of applicant information, and certification of merit registers.

The Office for Employee Relations consists of the following organizational units:

- Division of Employee Benefits is responsible for the administration of the state employee health and life insurance programs, the employee benefit fund, the state flexible benefit program, and the state employee worker's compensation program. Additionally, the division handles the Sick Leave Sharing program, the Health and Safety Programs (OSHA) and provides assessment and referral services to state employees.
- Division of Employee Services and Recognition is responsible for communicating with state employees about personnel issues and other relevant issues through publications and otherwise; administers the employee incentive programs; and provides dispute resolution assistance to state employees and agencies.

The Office of the Secretary provides executive policy and management support to the departments of the Cabinet; promulgates administrative regulations; advises the Personnel Board on matters pertaining to the classified service; conducts investigations on all matters relating to the personnel law and rules; prepares budget estimates for support of the personnel system; provides personnel services to unclassified employees according to agency agreements; provides all administrative, information systems management and legal services to the cabinet; coordinates the State Affirmation Action Plan; and provides for such other services as are enumerated in KRS 18A.030.

- The Cabinet provides the administrative and staff support required by the Board of Trustees for the Kentucky Public Employees Deferred Compensation System.



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SLCarpenter  
(Personnel Cabinet)

### 3.10 Typical Processing Times for Various Types of P-1s

In the old (pre-UPPS) personnel system, a P-1 to be reviewed by several units in the Cabinet was routed back to the Processing & Records Branch before going to the next unit for review. And a single individual had the responsibility of remembering all required reviews for all types of P-1s--literally hundreds of possible combinations. We are a long way from fundamental processing problems such as these, but we want to improve further so our service to you will continue to improve.

As soon as your P-1 arrives in Room 531, 5th Floor, 200 Fair Oaks Lane, it is keypunched and run through our front-end processor to determine if there are any administrative errors. Once clear, a routing slip directing the flow of the document is produced by the computer (the fact that there are several hundred combinations of actions means there are the same number of possible routings--a process best directed by the computer).

Once your P-1 clears our front-end processor, most of the problems that can cause P-1 rejection have been identified and resolved. There is still a chance that the action can be returned to you, but it would be for **substantive** reason (e.g., employee does not meet the qualifications for a promotion) rather than **administrative** (i.e., an error in information shown on the P-1). Substantive errors average only about two-thirds the volume of administrative errors.

Despite the fact that P-1s we process tend to have more administrative errors than substantive errors, that is not the major reason that some actions take longer to process. The reviews required by staff within the Cabinet dictate, in large part, the amount of time taken to approve a P-1. The following table shows some examples of actions and the particular reviews required.

| Type of Action                | Units that must process the action |                   |             |                               |      |       |
|-------------------------------|------------------------------------|-------------------|-------------|-------------------------------|------|-------|
|                               | Processing & Records               | Staffing Services |             | Classification & Compensation |      | Legal |
|                               |                                    | Register          | Interviewer | Class                         | Comp |       |
| Reclass                       | X                                  |                   |             | X                             |      |       |
| Demotion--lower salary        | X                                  |                   | X           |                               |      |       |
| Reinstatement                 | X                                  |                   |             |                               |      |       |
| Promotion                     | X                                  | X                 |             |                               |      |       |
| Position Establishment        | X                                  |                   |             | X                             |      |       |
| Reinstatement per Board Order | X                                  |                   |             |                               |      | X     |
| Address Change                |                                    |                   |             |                               |      |       |

Note that an address change, requiring only mechanical reviews, is processed in less than a day. Some types of reinstatements can take several days to complete because several units must process the document.

### **3.11 Relationship of Personnel to Payroll.**

#### **3.11.1 Transactions Created by P-1.**

The P-1 is the document that "drives" the payroll system. Each P-1 creates certain payroll transactions. This is done to save the payroll officer time in preparing transactions. The list of payroll transactions created from each type of personnel action is contained in the UPPS Payroll Manual.

#### **3.11.2 P-1 Listing.**

Each pay period, the Personnel Cabinet issues at least one P-1 listing (in most cases two are issued each pay period) showing the P-1s that have been approved for payroll processing. This listing is distributed to the payroll officer. It serves as a checklist to insure that all necessary payroll transactions are submitted.

Two copies of the P-1 listing are distributed to each agency payroll office. One is in social security number order, the other in position number order. This is done to accommodate the various sequences that agencies use to access their information.